



05-12-04

ITAW

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM  (to be used for all correspondence after initial filing)	Application Number	10/771,591	
	Filing Date	02/04/2004	
	First Named Inventor	John M. Hayden	
	Art Unit	2184	
	Examiner Name		
Total Number of Pages in This Submission	1	Attorney Docket Number	10830.0102.NPUS00

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <p style="margin-left: 20px;">A copy of each cited reference C1 to C38 Return Post Card</p>
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Richard C. Auchterlonie Howrey Simon Arnold & White, LLP
Signature	<i>Richard C. Auchterlonie</i> Reg. 30,607
Date	May 11, 2004

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

*EXPRESS MAIL NO. EV 318617785 US*

Typed or printed name	Richard C. Auchterlonie, Reg. 30,607		
Signature	<i>Richard C. Auchterlonie</i>		Date
			May 11, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Form PTO-1449 (modified)

Atty. Docket No.  
10830.0102.NPUS00Serial No.  
10/771,591

## List of Patents and Publications for Applicant's

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant  
Hayden et al.Filing Date:  
02/04/2004Group:  
2184

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
	A1	US 2004/0030951 A1	02/12/2004	Armangau et al.	714	6	8/6/2002
	A2	US 2004/0030846 A1	02/12/2004	Armangau et al.	711	154	8/6/2002
	A3	US 2004/0030727 A1	02/12/2004	Armangau et al.	707	200	8/6/2002
	A4	US 2003/0217119 A1	11/20/2003	Raman et al.	709	219	5/16/2002
	A5	6,549,992 B1	4/15/2003	Armangau et al.	711	162	12/2/1999
	A6	6,502,205 B1	12-2002	Yanai et al.	714	7	11/10/2000
	A7	6,496,908 B1	12/17/2002	Kamvysselis et al	711	162	05/18/2001
	A8	6,434,681 B1	08/13/2002	Armangau	711	162	12/02/1999
	A9	6,324,581 B1	11/27/2001	Xu et al.	709	229	3/3/1999
	A10	6,279,011 B1	8/21/2001	Muhlestein	707	204	6/19/1998
	A11	6,269,431 B1	6/31/2001	Dunham	711	162	8/13/1998
	A12	6,101,497	8/8/2000	Ofek	707	10	4/25/1997
	A13	6,076,148	6/13/2000	Kedem	711	162	12/26/1997
	A14	6,052,797	4/18/2000	Ofek et al.	714	6	08/20/1998
	A15	6,035,412	3/7/2000	Tamer et al.	714	6	3/19/1997
	A16	6,029,175	2/22/2000	Chow et al.	707	104	06/07/1996
	A17	5,974,563	10/26/1999	Beeler, Jr.	714	5	10/02/1998
	A18	5,915,264	6/22/1999	White et al.	711	168	4/18/1997
	A19	5,901,327	5/4/1999	Ofek	395	849	3/17/1997
	A20	5,873,116	2/16/1999	Van Fleet	711	147	11/22/1996
	A21	5,870,764	2/9/1999	Lo et al.	707	203	03/12/1993

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

Form PTO-1449 (modified)		Atty. Docket No. 10830.0102.NPUS00	Serial No. 10/771,591
List of Patents and Publications for Applicant's INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant Hayden et al.	
		Filing Date: 02/04/2004	Group: 2184



### U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
	A22	5,835,953	11/10/98	Ohran	711	162	11/08/1996
	A23	5,893,140	4/6/1999	Vahalia et al.	711	118	11/13/1996
	A24	5,829,047	10/27/1998	Jacks et al.	711	162	8/29/1996
	A25	5,829,046	10/27/1998	Tzelnic et al.	711	162	6/10/1996
	A26	5,819,292	10/6/1998	Hitz et al.	707	203	5/31/1995
	A27	5,742,792	4/21/1998	Yanai et al.	395	489	5/28/1996
	A28	5,673,382	9/30/1997	Cannon et al.	395	182.04	5/30/1996
	A29	5,596,706	1/21/1997	Shimazaki et al.	395	182.04	8/10/1994
	A30	5,535,381	7/9/1996	Kopper	395	600	7/22/1993
	A31	5,434,994	7/18/1995	Shaheen et al.	395	500	5/23/1994
	A32	5,060,185	10/22/1991	Naito et al.	364	900	2/27/1989
	A33	4,755,928	7/5/1988	Johnson et al.	364	200	3/5/1984
	A34	4,686,620	8/11/1987	Ng	364	200	7/26/1984

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	EMC Celerra SE5 File Server, EMC Corporation, Hopkinton, Mass. 01748-9103, 2002, 2 pages.
	C2	“Celerra File Server in the E-Infostructure,” EMC Corporation, Hopkinton, Mass., 2000, 9 pages.
	C3	“Celerra File Server Architecture for High Availability,” EMC Corporation, Hopkinton, Mass., August 1999, 7 pages.
	C4	Chutani, Sailesh, et al., “The Episode File System,” Carnegie Mellon University IT Center, Pittsburgh, PA, June 1991, 18 pages.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

Form PTO-1449 (modified)		Atty. Docket No. 10830.0102.NPUS00	Serial No. 10/771,591
List of Patents and Publications for Applicant's INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant Hayden et al.	
		Filing Date: 02/04/2004	Group: 2184

### Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C5	D.L. Burkes and R.K. Treiber, "Design Approaches for Real-Time Transaction Processing Remote Site Recovery," Digest of Papers in Spring COMPCON90, Feb. 26-March 2, 1990, <i>Thirty-Fifth IEEE Computer Society International Conference</i> , San Francisco, CA, pp. 568-572.
	C6	"Network Data Management Protocol (NDMP)," <a href="http://www.ndmp.org/info/">http://www.ndmp.org/info/</a> ; NDMP White Paper, <a href="http://www.ndmp.org/info/technology/wp.html">http://www.ndmp.org/info/technology/wp.html</a> ; "Protocol Specification Summary, Document Version: 1.7.2S," <a href="http://www.ndmp.org/info/spec_summary.html">http://www.ndmp.org/info/spec_summary.html</a> ; "Legato Systems Embraces the NDMP Standard: Legato Networker Software to be NDMP Compliant in Q3," <a href="http://www-ftp.legata.com/News/Press/PR209.html">http://www-ftp.legata.com/News/Press/PR209.html</a> ; published at least as early as 10/11/99, 17 pages.
	C7	R. Stager and D. Hitz, Internet Draft filename " <a href="#">draft-stager-iguard-netapp-backup-05.txt</a> ," <i>Network Data Management Protocol (NDMP)</i> , last update 10/12/99, pp. 1-73.
	C8	Koop, P., "Replication at Work. (four companies use Oracle and Sybase replication servers to solve business problems)," DBMS, vol. 8, No. 3, p. 54(4), March 1995.
	C9	"Remote Mirroring Technical White Paper", Copyright 1994-2002 Sun Microsystems, published at least as early as May 17, 2002 at sun.com, 25 pages.
	C10	"EMC TechNote:" Celerra Replicator, EMC Corporation, Hopkinton, MA, 2002 (5 pages).
	C11	"EMC TimeFinder Product Description Guide", EMC Corporation, Hopkinton, MA, 1998, pp. 1-31.
	C12	"Leveraging SnapView/IP in Oracle8i Environments with the CLARiiON IP4700 File Server", Engineering White Paper, EMC Corporation, Hopkinton, MA, Feb. 13, 2002, pp. 1-16.
	C13	"Using EMC CLARiiON FC4700 and SnapView with Oracle 8i", Engineering White Paper, EMC Corporation, Hopkinton, MA, March 4, 2002, pp. 1-22.
	C14	"Disaster Recovery Guidelines for using HP SureStore E XP256, Continuous Access XP with Oracle Databases," Rev 1.03, Hewlett-Packard Company, Palo Alto, CA, May 2000, pp. 1-28.
	C15	"Enterprise Volume Manager and Oracle8 Best Practices", Compaq White Paper, Compaq Computer Corporation, Dec. 1999, pp. 1-11.
	C16	VERITAS Database Edition for Oracle, "Guidelines for Using Storage Checkpoint and Storage Rollback with Oracle Databases", Veritas Software Corporation, Mountain View, CA, August 2001, pp. 1-16.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

**INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)**

Form PTO-1449 (modified)

Atty. Docket No.  
10830.0102.NPUS00Serial No.  
10/771,591

## List of Patents and Publications for Applicant's

Applicant  
Hayden et al.

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Filing Date:  
02/04/2004Group:  
2184

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C17	"VERITAS Volume Replication and Oracle Databases", A Solutions White Paper, Veritas Software Corporation, Mountain View, CA, May 29, 2000, pp. 1-31.
	C18	Nabil Osorio and Bill Lee, "Guidelines for Using Snapshot Storage Systems for Oracle Databases", Oracle Corporation, Redwood Shores, CA, Oct. 2001, pp. 1- 12.
	C19	"EMC PowerPath – Storage Virtualization," EMC Corporation, Hopkinton, MA, 2003, 2 pages.
	C20	"Symmetrix Data Migration Services," EMC Corporation, Hopkinton, MA, July 2001, 4 pages.
	C21	"Graphical Management of the Celerra Network Server For the Microsoft Administrator," EMC Corporation, Hopkinton, MA, May 18, 2003, pp. 1-20.
	C22	"EMC Services – Celerra NS600 Basic Implementation," EMC Corporation, Hopkinton, MA, Dec. 2002, 2 pages.
	C23	"Celerra NS600 and NS600S QuickStart," EMC Corporation, Hopkinton, MA, July 2003, 2 pages.
	C24	"Virtual Machines as Special class of Operating Systems," <a href="http://www.softpanorama.org/Freenix/vm.shtml">www.softpanorama.org/Freenix/vm.shtml</a> , printed July 24, 2002, pp. 1-13.
	C25	"Active Directory Overview," <a href="http://www.microsoft.com">www.microsoft.com</a> , Microsoft Corporation, Bellevue, WA, June 30, 1999, 13 pages.
	C26	Phillips, John, "Storage Consolidation and Data Protection using MultiStore™," <a href="http://www.netapp.com">www.netapp.com</a> , Network Appliance, Inc., Sunnyvale, CA, 2003, 13 pages.
	C27	VFM™ (Virtual File Manager) Software, <a href="http://www.netapp.com">www.netapp.com</a> , Network Appliance, Inc., Sunnyvale, CA, 2003, 4 pages.
	C28	Watson & Benn, "Multiprotocol Data Access: NFS, CIFS, and HTTP," <a href="http://www.netapp.com">www.netapp.com</a> , Network Appliance, Inc., Sunnyvale, CA, 2003, 29 pages.
	C29	"Active Directory Overview," <a href="http://www.microsoft.com">www.microsoft.com</a> , Microsoft Corp., Bellevue, WA, 2003, 15 pages.
	C30	"NTLM," <a href="http://www.opengroup.org">www.opengroup.org</a> , 2003, 16 pages.
	C31	Glass, Eric, "The NTLM Authentication Protocol," <a href="http://davenport.sourceforge.net">http://davenport.sourceforge.net</a> , 2003, 50 pages.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

Form PTO-1449 (modified)	Atty. Docket No. 10830.0102.NPUS00	Serial No. 10/771,591
List of Patents and Publications for Applicant's  INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	Applicant Hayden et al.	
	Filing Date: 02/04/2004	Group: 2184

**Other Art (Including Author, Title, Date Pertinent Pages, Etc.)**

Exam. Init.	Ref. Des.	Citation
	C32	Rozmanov, Dmitry, "NTLM Authorization Proxy Server," <a href="http://www.geocities.com/rozmanov">www.geocities.com/rozmanov</a> , 13 Dec. 2002, 4 pages.
	C33	Remsburg, Michael, "Unix File Systems – Directories," <a href="http://opserver.dist.maricopa.edu">http://opserver.dist.maricopa.edu</a> , Maricopa Community Colleges, Phoenix, AZ, May 13, 2002, 3 pages.
	C34	"Kerberos: The Network Authentication Protocol," <a href="http://web.mit.edu/kerberos/www/">http://web.mit.edu/kerberos/www/</a> , Massachusetts Institute of Technology, Cambridge, MA, 2003, 2 pages.
	C35	Steiner et al., "Kerberos: An Authentication Service for Open Network Systems," Massachusetts Institute of Technology, Cambridge, MA, March 30, 1988, pp. 1-15.
	C36	Deuby, Sean, "Windows 2000 Glossary," Windows & .Net Magazine, <a href="http://www.winnetmag.com">www.winnetmag.com</a> , Penton Media, Inc., Loveland, CO., 2003, 7 pages.
	C37	"Windows 2000 Startup and Logon Traffic Analysis," <a href="http://www.microsoft.com">www.microsoft.com</a> , Microsoft Corp., Bellevue, WA, Aug. 2000, 34 pages.
	C38	"Microsoft Windows 2000 Server – Implementing Registry-Based Group Policy for Applications," Microsoft Corp., Bellevue, WA, 2000, pp. 1-49.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

*INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)*